

WisDOT Electronic Record Storage Statement

At their option, licensed dealers may store records of completed vehicle transactions in an electronic format, and dispose of paper files, if the dealer complies with the attached *WisDOT Guidelines for Electronic Record Storage*. Complete and submit this form *before* using an electronic record storage system that replaces paper files.

Legal business name: _____ Dealer number: _____

Business addresses of all licensed locations using electronic record-keeping: _____

Dealership contact person regarding electronic records storage: _____

Electronic records software package in use (name and version): _____

Electronic records software vendor—contact name and phone number. (If dealership has no ongoing relationship with a software vendor, leave blank): _____

I certify that I have complied with the following requirements in order to store required records of completed consumer transactions electronically and dispose of paper files:

1. ☐ Electronic records are available to WisDOT staff during normal business hours.
2. ☐ Electronic records are legible and complete, and comply with all legal requirements for dealership record-keeping.
3. ☐ Dealership has a working printer on site, and promptly produces paper copies of electronic records upon WisDOT request.
4. ☐ Access to electronic records system is password-protected.
5. ☐ Electronic records are backed-up regularly. Paper copies of records are not destroyed until a back-up copy has been made. Back-up copies are stored securely.
6. ☐ Scanned records are stored electronically in a read-only format, and cannot be modified.
7. ☐ I authorize the electronic records storage vendor (if any) to assist WisDOT in accessing required records of consumer transactions, at the vendor's discretion, in the event dealership staff become unavailable to provide such assistance during an investigation.
8. ☐ If an inspection reveals that the electronic records storage system does not meet WisDOT guidelines, the dealership will revert to maintaining all required records in a paper format.
9. ☐ Any electronically-produced, laser-printed dealership forms will be produced and stored in accordance with the *DOT Guidelines for Electronic Record Storage* and any applicable laws.

I declare that this is a true and accurate statement:

(Signature of authorized dealership representative)

(Title)

(Date)

Send form to:

WisDOT Dealer Section

P.O. Box 7909

Madison, WI 53707-7909

(608) 266-1425

dealers.dmv@dot.state.wi.us

WISDOT ERSS 11/03

WisDOT Guidelines for Electronic Record Storage

At their option, licensed dealers may store documentation of completed vehicle transactions in an electronic format, and dispose of paper files, if the dealer complies with the following *WisDOT Guidelines for Electronic Record Storage*. Dealers must complete and submit *WisDOT's Electronic Records Storage Statement* (WisDOT form ERSS) *before* using an electronic record-keeping system that replaces paper files.

Records kept

1. Maintain electronic records of all documentation required by law for completed consumer transactions.
2. Protect your dealership by maintaining electronic files of other important information relating to a transaction, including worksheets and other papers customarily stored in the “deal jacket,” even if not required by law.
3. Check electronic record-keeping requirements of your franchiser and other regulatory agencies (including the Department of Financial Institutions), *before* using an electronic record-keeping system that replaces paper files.
4. The dealership is not required to maintain *paper* copies of documentation *after* the sale or lease, if all required records are maintained electronically in accordance with these guidelines.

Quality control

1. Make sure all scanned copies are legible and complete.
2. Create a process for double-checking that a file has been scanned completely before paper copies are destroyed.

Availability

1. Make sure electronic records are available to WisDOT staff during normal business hours.
2. Have a working printer on site at all times, and print paper copies of electronic records at WisDOT request.
3. Keep in mind that, in the event your dealership became unable to provide dealer records upon WisDOT request, and if your dealership had an ongoing relationship with an electronic records vendor or software provider, WisDOT might ask the vendor to assist with system access during an investigation. Dealerships certify on their Electronic Records Storage Statement (WisDOT form ERSS) that they authorize the vendor to provide such assistance to WisDOT, if needed—at vendor discretion.

Security

1. Protect the integrity of your files, and your customers' privacy by password protecting your electronic records storage system.
2. Limiting *system-wide* access to a few trustworthy employees, top managers or dealer principles.
3. Tailor system access to match users' actual needs—for example, create separate folders or “cabinets” for F&I, Sales, Service, etc., and limit employee's access to their department's folders.
4. Change passwords periodically.
5. Make sure all electronic stored documents are in a read-only format and cannot be modified.

Back-up copies

1. Systems sometimes fail and records can be corrupted or lost. Keep electronic back-up files of all electronic records in a secure location. Do not store your back-up files on the same hard drive as your primary files.
2. Back-up electronic record files often—preferably at the end of any day in which new records have been created.
3. Keep the paper copy of any record until a back-up copy of the record has been created. Note: you do not have to keep paper copies of properly stored and backed-up electronic records of a completed transaction.
4. Keep a second back-up copy of all records at a secure location, for example in a safe deposit box at a nearby bank.
5. Maintain records and back-up copies for 5 years to be consistent with legal record retention requirements.

Laser forms

1. Any dealership forms produced electronically at the dealership must meet all legal requirements for content and layout, and any DOT print specifications for that form. For more information about laser form requirements, contact WisDOT Dealer Section at (608) 266-1425.
2. The electronic record of any dealership-produced form should contain any required signatures. (Scan documents into the record *after* all signatures have been added.)
3. The customer copy of any printed form should contain the same information and signatures as the dealership copy or file copy of the form.

Send form to:

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P.O. Box 7909
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